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\* Admitted only in Maryland  
\* Admitted only in Virginia  
\* Admitted only in Texas  
\* Practice Limited to  
Federal Agencies

September 25, 2002

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SEP 30 2002

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Commissioner for Patents  
Washington, D.C. 20231

Technology Center 2100

Group Art Unit 2184

Re: U.S. Utility Patent Application  
Appl. No. 09/971,765; Filed: October 9, 2001  
For: **A Method and Apparatus for a Common-Cause Failure Module for  
Probabilistic Risk Assessment Tools**  
Inventors: Franciscus J. GROEN *et al.*  
Our Ref: 1797.0510000

Sir:

Transmitted herewith for appropriate action are the following documents:

1. PTO Fee Transmittal Form (PTO/SB/17);
2. Request to Correct Inventorship In A Non-Provisional Patent Application Under 37 C.F.R. § 1.48(a)(1);
3. Original Statement Under 37 C.F.R. § 1.48(a)(2) of A Person To Be Added or Deleted As An Inventor;
4. Original Substitute Declaration re-executed by all of the inventors;
5. Facsimile copy of the Consent of the Assignee Under 37 C.F.R. § 1.48(a)(5);
6. A copy of the Certificate Under 37 C.F.R. § 3.73(b) executed by the assignee as filed on December 28, 2001;
7. One (1) return postcard; and

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Commissioner for Patents  
September 25, 2002  
Page 2

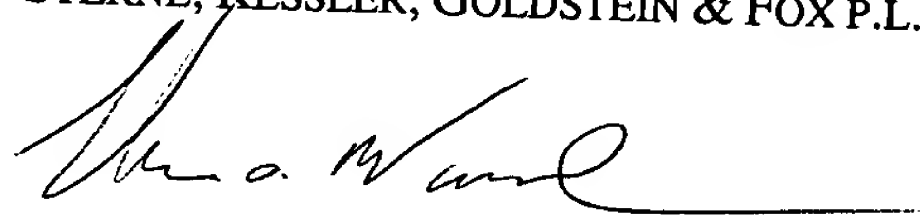
8. Our check no. 36763 in the amount of \$130.00 to cover the processing fee as set forth under 37 C.F.R. § 1.17(i).

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

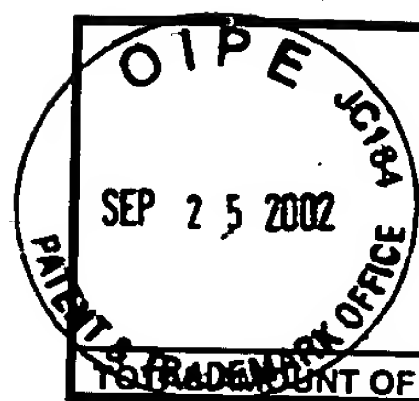
STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Theodore A. Wood  
Attorney for Applicants  
Registration No. 52,374

Enclosures

::ODMAMHODMASKGF\_DC1;58758;1

**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

TO: TRADEMARK OFFICE

(\$ 130.00)

**Complete If Known**

Application Number	09/971,765
Filing Date	October 9, 2001
First Named Inventor	Franciscus J. GROEN
Examiner Name	R. Beausoliel, Jr.
Group Art Unit	2184
Attorney Docket No.	1797.0510000

**METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account  
Number

19-0036

Deposit Account  
Name

Sterne, Kessler, Goldstein &amp; Fox P.L.L.C.

- ☐ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check☐ Credit card☐ Money Order☒ Other\*

\*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$) 0.00

**2. EXTRA CLAIM FEES**

Extra	Fee from below	Fee Paid
Total Claims _____ - 20** = _____ X _____ = _____		
Indep. Claims _____ - 3** = _____ X _____ = _____		
Multiple Dependent _____ = _____		

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim
108	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

\*\* or number previously paid, if greater. For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify): Processing fee as set forth under 37 C.F.R. § 1.17(i)

Other fee (specify):

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 130.00

**SUBMITTED BY**

Name (Print/Type)	Theodore A. Wood	Registration No. (Attorney/Agent)	52,374	Telephone	202-371-2600
Signature		Date	September 25, 2002		

**Complete (if applicable)**

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#9  
71D.  
10/15/02

In re application of:

Franciscus J. GROEN *et al.*

Appl. No. 09/971,765

Filed: October 9, 2001

For: **A Method and Apparatus for a  
Common-Cause Failure Module for  
Probabilistic Risk Assessment Tools**

Confirmation No.: 2480

Art Unit: 2184

Examiner: R. Beausoliel, Jr.

Atty. Docket: 1797.0510000

**Request To Correct Inventorship In A Nonprovisional Patent  
Application Under 37 C.F.R. § 1.48(a)(1)**

RECEIVED

Commissioner for Patents  
Washington, D.C. 20231

SEP 30 2002

Technology Center 2100

Sir:

Applicants request that the United States Patent and Trademark Office correct inventorship in the above-captioned nonprovisional patent application for which an oath or declaration has already been filed. Specifically Applicants request that the Office change the inventorship in this application from Franciscus J. Groen, Carol S. Smidts and Ali Mosleh to **Franciscus J. Groen, Carol S. Smidts, Ali Mosleh and Swaminathan Sankaran.**

This request is accompanied by:

- (1) A statement from each person to be added as an inventor, and/or each person to be deleted as an inventor, stating that the error in inventorship was made without deceptive intent on his or her part;

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- (2) An oath or declaration by the actual inventor or inventors as required by 37 C.F.R. § 1.63 or as permitted by 37 C.F.R. §§ 1.42, 1.43 or 1.47;
- (3) The written consent of the assignee of the originally named inventors;
- (4) A copy of the Certificate under 37 C.F.R. § 3.73(b) executed by the assignee named in part (3) as filed on December 28, 2001; and
- (5) The processing fee as set forth under 37 C.F.R. § 1.17(i), in our attached check no. 36763 for \$130.00.

Applicants hereby authorize the U.S. Patent and Trademark Office to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Theodore A. Wood  
Attorney for Applicants  
Registration No. 52,374

Date: September 25, 2002

1100 New York Avenue, N.W.  
Suite 600  
Washington, D.C. 20005-3934  
(202) 371-2600



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Franciscus J. GROEN *et al.*

Appl. No. 09/971,765

Filed: October 9, 2001

For: **A Method and Apparatus for a  
Common-Cause Failure Module for  
Probabilistic Risk Assessment Tools**

Confirmation No.: 2480

Art Unit: 2184

Examiner: To Be Assigned

Atty. Docket: 1797.0510000

**Statement Under 37 C.F.R. § 1.48(a)(2) of A Person  
To Be Added or Deleted As An Inventor**

RECEIVED

Commissioner for Patents  
Washington, D.C. 20231

SEP 30 2002  
Technology Center 2100

Sir:

I am a coinventor of the invention of one or more claims in the above-captioned nonprovisional application for which an oath or declaration under 37 C.F.R. § 1.63 has been filed erroneously not naming me as an inventor. The inventorship error occurred without deceptive intent on my part. I have read and understand 37 C.F.R. § 10.18(b).

Signed: Swaminathan Sankaran Date: 4/29/02  
Swaminathan Sankaran